

SECTION ONE

Strategic Risk Register – All Scrutiny Panels

April 2013

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	3	Marginal	Low	Carol Chambers	Mark Naylor
<p>Risk Name: Organisational Development. Updated March 2013.</p> <p>Risk Description: Failure to maintain and develop appropriate policies and procedures for the effective recruitment, retention and management of employees.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Corporate induction programme. • Core Values and Leadership Behaviours Framework now in place. • New appraisal system is in place. • Weekly One Council Briefing issued to communicate key issues to all staff. • Recruitment procedures currently under review including the Recruitment pages of the website. • New corporate approach to development of training plans being introduced. <p>Actions:</p> <ul style="list-style-type: none"> • All policies/procedures are being reviewed on a cyclical basis. In the last quarter, the following policies have been updated: <ul style="list-style-type: none"> ○ Maternity, Paternity and Adoption ○ Relocation ○ Secondment ○ Pay ○ Restructure • Induction process has been reviewed and is scheduled to go to SMT on 8th April 2013 to be agreed. • Review of appraisal system being undertaken in May. • Performance Development Review's now substantially complete. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	5	Critical	Significant	Helen Briggs	Chris Jones
<p>Risk Name: Media Influence. Updated March 2013.</p> <p>Risk Description: Failure to manage the process of information/news release, resulting in adverse publicity within the local and national press.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Communications Officer is first point of contact; he has built up a good relationship with the press. • Communications Strategy includes a policy on dealing with enquiries from the press. • Communication is a standing item on the SMT agenda. Pro-active communication is discussed where relevant. • Use of press releases to put information across in the format we want. <p>Actions:</p> <ul style="list-style-type: none"> • No further action required at this time. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	10	Critical	Significant	Helen Briggs	Dave Brown
<p>Risk Name: Significant business interruption. Updated March 2013.</p> <p>Risk Description: Failure to be resilient should the Council face a number of key threats e.g. loss of key staff (skills/knowledge), loss of ICT, loss of data, loss of fuel, loss of utilities, loss of vehicles.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Review of business continuity management arrangements. • Business Continuity Plans now in place for key areas, for example: <ul style="list-style-type: none"> ○ Loss of Accommodation <p>Actions:</p> <ul style="list-style-type: none"> • New Policy Document, Business Impact Analysis and response plans compiled. • Testing of business continuity plans to be planned. • Review of BCP's completed by Operational Director, some minor actions to be resolved. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	15	Critical	Very Low	SMT	SMT
<p>Risk Name: Contracted services</p> <p>Risk Description: Failure of a major contractor to provide key council services.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Liaison with contractors to monitor performance and overall financial stability. • Overview of their performance. • Annual company check undertaken. <p>Actions:</p> <ul style="list-style-type: none"> • Instigate monthly company checks for key contractors. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	17	Critical	High	Helen Briggs	Victoria Brambini
<p>Risk Name: Corporate Capital Strategy. Updated March 2013.</p> <p>Risk Description: Failure to plan and deliver capital projects within time-limited availability of the funding.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Project Management and governance arrangements in place. • Capital Allocations Project Board (Education) established. • Regular project board meetings taking place, involving school reps and officers/members. <p>Actions:</p> <ul style="list-style-type: none"> • CIL Infrastructure Projects List being detailed to form part of consultation on CIL. • Prioritisation process for projects pursuant to corporate strategic aims and objectives being developed. • Development of corporate capital investment strategy underway. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	18	Critical	High	Helen Briggs	Kendrew WG
<p>Risk Name: Cottesmore Base</p> <p>Risk Description: Not being prepared for the arrival of the Army.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Close liaison with the Army. <p>Actions:</p> <ul style="list-style-type: none"> • Cottesmore WG reactivated and relevant sub groups formed. • Police and other partners engaged. • Visit to Germany took place May 2012. • Induction pack prepared. • School admissions being progressed. • Lobbying for funding with LGA, DfE and CLG. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	20	Critical	High	Helen Briggs	Helen Briggs
<p>Risk Name: Political Leadership.</p> <p>Risk Description: Turbulence within the political leadership.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Succession planning. • Member development. <p>Actions:</p> <ul style="list-style-type: none"> • Regular 121's with Leader to discuss risks and mitigation. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	21	Critical	Significant	S Della Rocca/Carol Chambers	Andrea Grinney/Victoria Todd
<p>Risk Name: Welfare Reform. Updated March 2013.</p> <p>Risk Description: Failure to be prepared for the welfare reform changes.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • New local Council Tax scheme now in place. • Pro-active work undertaken with affected groups. • Hardship fund setup. • Tracking developments in respect of Universal Credit. <p>Actions:</p> <ul style="list-style-type: none"> • Continuous assessment of the impact on vulnerable people and the services they may require as a result of the changes. • Liaising with DWP over the role of the Local Authority in Universal Credit. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	27	Critical	Significant	Helen Briggs	Janet Bilby
<p>Risk Name: Retention and Recruitment of Senior Staff. Added January 2013.</p> <p>Risk Description: The increase in accusations made against officers who were unable to respond and, as a result, the retention of these staff and subsequent recruitment is a cause for concern.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • On-going support provided for members of staff. • Use of press releases/website to put information across to the public. <p>Actions:</p> <ul style="list-style-type: none"> • Independent report commissioned on the actions of RACP. • Resolution of special Council meeting – 10th January 2013. 					

SECTION TWO

Strategic Risk Register – People Directorate (Children’s) Scrutiny Panel

April 2013

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	1	Marginal	Significant	Carol Chambers	Mark Naylor
<p>Risk Name: Impact of Schools Converting to Academy Status.</p> <p>Risk Description: As the number of Rutland schools becoming Academies increases, so does the impact on the provision of central services by the Local Authority.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> Monitoring by senior officers. <p>Actions:</p> <ul style="list-style-type: none"> Maintain contacts in other LAs to share information. Use existing information to model possible impact. Review relationship with schools in the future. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	2	Critical	Significant	Carol Chambers	Jill Haigh
<p>Risk Name: Public Health</p> <ul style="list-style-type: none"> Risk Description: Portfolio Holder for Health appointed within the Cabinet. Structure and Delivery model agreed by cabinet on 8th January 2013. Notification of funding for 2013/14 and 2014/15 received which is a substantial increase on the 2012/13 allocation. Shadow Health and Wellbeing Board established in order to establish good relationships with partners. <p>Risk Controls:</p> <ul style="list-style-type: none"> Monitoring by senior officers. <p>Actions:</p> <ul style="list-style-type: none"> Monthly meetings taking place between LA Director and Director of Public Health. Public Health consultant seconded to Rutland 0.2 and joined Directorate Management Team. Leics. and Rutland Public Health Transition group established. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	14	Critical	Low	Carol Chambers	Wendy Poynton
<p>Risk Name: Safeguarding</p> <p>Risk Description: Failure to Safeguard (both Adults and Children).</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Processes and procedures in place to protect the most vulnerable. • Monthly financial monitoring by senior officers and update reports to Cabinet. • Panel decision on placements rather than single officer. • Revised supervision process to ensure early information. <p>Actions:</p> <ul style="list-style-type: none"> • Register of associate staff established to develop sustainable staffing in social care. • Strict application of the panel process. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	24	Critical	High	Carol Chambers	Mark Naylor
<p>Risk Name: Schools Funding reform for 2013/14.</p> <p>Risk Description: Inadequate funding for Rutland schools to meet the needs of Rutland children and young people, inability of the Council to meet its strategic objectives and inability of the DCS to meet statutory responsibilities.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Schools Forum. • Develop an agreed funding model with schools. <p>Actions:</p> <ul style="list-style-type: none"> • Response to national consultation. • Collaborative work with other LAs, ADCS and other national bodies. • Project Group to develop funding models. • Briefing with all schools. 					